

Docket No. 87335.3500
Customer No.: 30734

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of
Robert A. BLAKLEY *et al.*

Serial No.: 10/056,027

Group Art Unit: 3627

Filed: January 28, 2002

For: SEAL SHAFT SHUTOFF DEVICE AND METHOD

INFORMATION DISCLOSURE STATEMENT

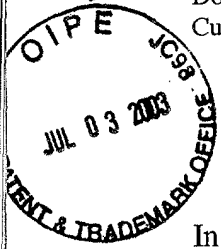
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached form PTO-1449. It is respectfully requested that the documents be expressly considered and that the documents be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

These references were cited in the International Search Report dated 25 June 2003. No further elaboration is believed necessary. A copy of the search report and cited art are submitted herewith in accordance with 37 C.F.R. 1.98(a).

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JUL 07 2003
GROUP 3600



AUTHORIZATION

No fee is required. The Commissioner is hereby authorized to charge any additional fees which may be required for this submission, or credit any overpayment to deposit account no. 50-2036.

Respectfully submitted,

BAKER & HOSTETLER LLP



Stephen S. Fabry
Registration No. 51,661

Date: July 3, 2003
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Docket No. 87335.3500
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PATENT



LIST OF ART CITED BY APPLICANT
(PTO-1449)

ATTY. DOCKET NO.
87335.3500

SERIAL NO.
10/056,027

APPLICANT
Robert A. BLAKLEY, *et al.*

FILING DATE
01/28/2002

GROUP
3627

U.S. PATENT DOCUMENTS

	EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
A		5,303,933	04/19/94	Larkins	277	9	07/09/92
B		4,878,677	11/07/89	Larkins, <i>et al.</i>	277	105	12/15/88
C		5,203,574	04/20/93	Stolzenfeld	277	6	02/14/92
D		5,000,463	03/19/91	Sun	277	33	10/10/89
E		5,772,214	06/30/98	Stark	277	28	04/12/96
F		4,071,254	01/31/78	Raimondi, <i>et al.</i>	277	3	10/29/76
G							
H							
I							
J							
K							
L							
M							
N							
O							
P							
Q							
R							
S							
T							

FOREIGN PATENT DOCUMENTS

	EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation
U		1537874	30/08/68	FR			
V		941241	06/11/63	GB			
W		725706	28/09/42	DE			
X		96717	01/11/22	CH			
Y							
Z							
AA							
BB							
CC							
DD							
EE							
FF							
GG							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

HH		International Searching Authority, International Search Report
II		25/06/03
JJ		
KK		
LL		
MM		
NN		

EXAMINER

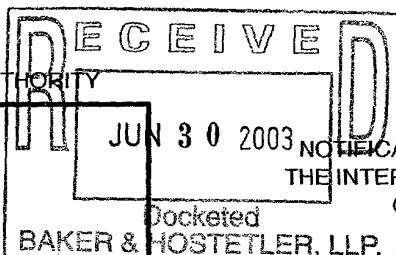
DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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JUL 07 2003
GROUP 3600

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY



PCT

To:
BAKER & HOSTETLER, LLP
 Attn. Sheehan, Kenneth J.
 Washington Square, Suite 1100
 1050 Connecticut Avenue, N.W.
 Washington, DC 20036
 UNITED STATES OF AMERICA

NOTIFICATION OF TRANSMITTAL OF
 THE INTERNATIONAL SEARCH REPORT
 OR THE DECLARATION

Docketed
BAKER & HOSTETLER, LLP.

(PCT Rule 44.1)

SDm/SF
87335-3501

Date of mailing
 (day/month/year) **25/06/2003**

Applicant's or agent's file reference
87335.3501

FOR FURTHER ACTION See paragraphs 1 and 4 below

International application No.
PCT/US 03/ 02385

International filing date
 (day/month/year) **28/01/2003**

Applicant

SPX CORPORATION

1. ☒ The applicant is hereby notified that the International Search Report has been established and is transmitted herewith.

Filing of amendments and statement under Article 19:

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

When? The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

Where? Directly to the International Bureau of WIPO
 34, chemin des Colombettes
 1211 Geneva 20, Switzerland
 Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no International Search Report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3. ☐ **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Further action(s):** The applicant is reminded of the following:

Shortly after **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

Within **19 months** from the priority date, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later).

Within **20 months** from the priority date, the applicant must perform the prescribed acts for entry into the national phase before all designated Offices which have not been elected in the demand or in a later election within 18 months from the priority date or could not be elected because they are not bound by Chapter II.

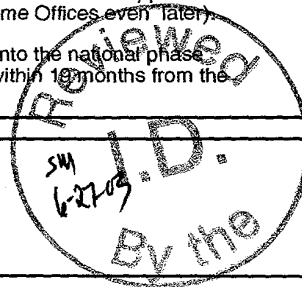
Name and mailing address of the International Searching Authority



European Patent Office, P.B. 5818 Patentlaan 2
 NL-2280 HV Rijswijk
 Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
 Fax: (+31-70) 340-3016

Authorized officer

Laurène Stafl



ENTERED IN CPI

Art. 19 Amdt due 8-25-03

NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions respectively.

INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

What documents must/may accompany the amendments?

Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

"Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

It must be in the language in which the international application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 62.2(a), first sentence).

Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.

PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 87335.3501	FOR FURTHER ACTION see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. PCT/US 03/02385	International filing date (day/month/year) 28/01/2003	(Earliest) Priority Date (day/month/year) 28/01/2002
Applicant SPX CORPORATION		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 4 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.



the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :



contained in the international application in written form.



filed together with the international application in computer readable form.



furnished subsequently to this Authority in written form.



furnished subsequently to this Authority in computer readable form.



the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.



the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

4. With regard to the **title**,



the text is approved as submitted by the applicant.



the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,



the text is approved as submitted by the applicant.



the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the **drawings** to be published with the abstract is Figure No.



as suggested by the applicant.



because the applicant failed to suggest a figure.



because this figure better characterizes the invention.

1



None of the figures.

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US 03/ 02385

Box III TEXT OF THE ABSTRACT (Continuation of item 5 of the first sheet)

An apparatus for providing a secondary seal on mixers and similar rotating equipment that includes a stop assembly and a collar (20) which cooperate to minimize translational movement of a mixer shaft (12) during shutoff and to form a reversible seal between the vessel and the shaft (12). The apparatus provides a sealing engagement between the mixing vessel and the rotatable shaft (12) of a mixer offering improved safety during mechanical seal replacement.

INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 03/02385

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 F16J15/00

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 F16J

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 5 303 933 A (LARKINS DAVID J) 19 April 1994 (1994-04-19) column 2, line 6 -column 3, line 4 ---	1-24
A	US 4 878 677 A (LARKINS DAVID J ET AL) 7 November 1989 (1989-11-07) column 1, line 65 -column 3, line 16 ---	1-24
A	US 5 203 574 A (STOLZENFELD GEORGE P) 20 April 1993 (1993-04-20) column 4, line 8 -column 7, line 3 ---	1-24
A	FR 1 537 874 A (ALSACIENNE CONSTR ATOM) 30 August 1968 (1968-08-30) page 2, paragraph 10 -page 4, paragraph 1 --- -/--	1-24

☒ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

* Special categories of cited documents:

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

T later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

X document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

Y document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

G document member of the same patent family

Date of the actual completion of the international search

17 June 2003

Date of mailing of the international search report

25/06/2003

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Staengl, G

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 03/02385

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	GB 941 241 A (FLEXIBOX LTD) 6 November 1963 (1963-11-06) page 1, line 66 -page 2, line 39 ----	1-24
A	DE 725 706 C (KREFFT AKT GES W) 28 September 1942 (1942-09-28) page 1, line 20-54 ----	1-24
A	US 5 000 463 A (SUN TSU-HUNG) 19 March 1991 (1991-03-19) column 2, line 49 -column 4, line 11 ----	1-24
A	CH 96 717 A (ESCHER WYSS MASCHF AG) 1 November 1922 (1922-11-01) page 1, paragraph 7 -page 3, paragraph 4 ----	1-24
A	US 5 772 214 A (STARK MICHAEL A) 30 June 1998 (1998-06-30) column 2, line 31 -column 5, line 21 ----	1-24
A	US 4 071 254 A (RAIMONDI ALBERT A ET AL) 31 January 1978 (1978-01-31) column 2, line 45 -column 3, line 66 -----	1-24

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 03/02385

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
US 5303933	A	19-04-1994	CA 2073614 A1	11-01-1994
US 4878677	A	07-11-1989	CA 1317981 A1	18-05-1993
US 5203574	A	20-04-1993	US 5102151 A	07-04-1992
FR 1537874	A	30-08-1968	NONE	
GB 941241	A	06-11-1963	NONE	
DE 725706	C	28-09-1942	NONE	
US 5000463	A	19-03-1991	NONE	
CH 96717	A	01-11-1922	NONE	
US 5772214	A	30-06-1998	NONE	
US 4071254	A	31-01-1978	CH 626694 A5	30-11-1981
			DE 2744172 A1	11-05-1978
			JP 53056458 A	22-05-1978